

Financial Management - Reporting

Welcome to the Enterprise Applications Due Diligence Survey! Your thoughtful response to this survey will help the Commonwealth to evaluate potential opportunities to re-engineer and re-solution common processes in the Commonwealth. Your input and information is vital for this project's success. Your response is due in five business days. To produce the most successful response, please read these instructions thoroughly.

Please answer the survey questions as fully as possible using existing policies, procedures, systems, data and professional experience. If you cannot answer a question using these resources, you are not expected to go to unusual lengths or use untested methods to gather information. Simply indicate, where possible, that the information is not available.

If your response does not fit into the space available or you have other information that you would like to provide, please contact Bob Haugh, Deputy Project Manager, (William.haugh@vita.virginia.gov, 804/344-8790) for assistance.

If you cannot complete the survey in one sitting, you can save the work you have already entered. Pressing the "Next" button at the bottom of each page both moves you to the next page and auto-saves each page as you complete it. Note that the survey page you are working on will not be saved until you click "Next," so you must click "Next" when you have finished the page if you have to stop and return later. When you re-enter the survey through your e-mail link, you will be returned to where you left off.

If data is not readily available or if you have to do some research to fully complete the survey, you can skip questions and come back to them. Please complete the survey to the best of your ability and press the "Submit" button to store your survey in the survey database. You can come back to your survey through your e-mail link and change your answers if the data becomes available. You are free to edit your submitted survey until we close the survey site. Please remember that every time you edit your survey after the first submission, you must press the "Submit" button again to record your changes. (Clicking the "Next" button will not auto-save pages when you are editing a previously submitted survey. Simply press "Submit" again.)

Thank you. We greatly appreciate your participation!

This document contains respondents between 1 and 42 inclusive.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

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15. Please list up to 5 opportunities for improvement to the Reporting process.

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Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☐ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
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2.
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3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
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2.
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3.
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4.
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5.
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Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
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2.
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3.
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4.
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5.
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Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
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2.
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3.
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4.
.....
5.
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37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
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2.
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3.
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4.
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5.
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42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☐ No

Comments

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44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Central Office combines facility input into one report. We provide financial data as requested but it is in essence limited to footnote disclosure as all GL info is obtained from FMS.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

none

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Financial Management System (FMS)

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

- Leave accruals obtained from KRONOS/HR systems and formatted into required report
- Inventory must be counted and extended for several areas
 - Federal schedule is compiled here (immaterial)
 - Generate Acct Payable numbers via FMS
- GASB 34 information compiled and reported manually

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

na

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.0
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	none available
Number of reports you generate on a recurring basis	386 available monthly
Types of reports you generate on a recurring basis	CARS/CIPPS/BES/Healthcare Recons/FAACS/VRS

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

-access to reports has improved
-minimizes our "physical" storage of reports
-3 year availability

15. Please list up to 5 opportunities for improvement to the Reporting process.

-Report data cannot be manipulated as it is created
-Reports are available 9-10 days after month end (CARS)

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☒ Reporting
- ☒ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To meet internal management needs of facility and CO to include availability of Pat Fund Acct and Cost Ledgers for department specific need

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

Health Financial Systems is used only to enter cost accounting data in order to prepare the annual medicare cost report.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	GL	FMS	CFO/Fiscal Dir	hardcopy/weekly and monthly
2.	Cost Center Budget vs Actual	FMS	Specified Dept Heads	hardcopy/monthly
3.	Budget/Actual Exp Variance inquiries	FMS	CFO/Fiscal Dir	as needed
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.0
2.	.0
3.	.0
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Requests made to Central Office for specialized reports which is "infrequent" at best. Most data is obtained through inquiry

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

approx 20

24. How many reports are produced annually?

not available

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Budget monitoring/development

2.

Financial reporting

3.

Human Resource mgt

4.

Patient Demographic/Census Data (AVATAR)

5.

Phys Plant MP2 /Psychosocial Rehab dbase for statistical accumulation

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Needs to be faster
2.
Additional inquiry options/capabilities vs report writer
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Budget	Excel	Citizen's Council/Central Office	monthly
2.	Cost Report	Health Financial Services	United Govt Services (Medicare)	annually
3.	Time/Leave	Access/Excel	Hum Res dept subcommittee	as needed
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.0
2.	.2
3.	.0
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

none

2.

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3.

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4.

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5.

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Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

FMS on-line inquiry downloaded and imported to excel/access for manipulation and "dressing" up ; development staff create report based on formal requests from management or through information mgt committee

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Types of leave used by exempt/non-exempt employee
2.
Cost analysis of programs or proposed programs
3.
Employee incentive cost/savings estimates
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

On-line inquiry through FMS; other data sources accumulate large amounts of data for use over time; familiarity of agency personnel with existing data

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

none

2.

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3.

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4.

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5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.1
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

none

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Provide information and classification of revenues and expenditures on agency schedules according to DOA Directives.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

GASB expenditure and revenue analysis for non-exchange transactions FY'04 Attachment 15. Reason: Sometimes a case can be made to classify items in more than one way. Not black and white issues but gray.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

FINSYS Agency based accounting system

RMS Revenue Management System

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

We are not required to prepare a CAFR. We prepare Financial Schedules per DOA instructions only.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

Various reports from the Agency System (FINSYS) assist in the preparation of the DOA Schedules.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	.0
Band - 2	.0
Band - 3	.1
Band - 4	.0
Band - 5	.3
Band - 6	.1
Band - 7	.0
Band - 8	.0
Band - 9	.0
Contracted Labor	.0

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	ReportLine has no ad-hoc reporting capability. It only distributes printed reports in acrobat format.
Number of reports you generate on a recurring basis	12
Types of reports you generate on a recurring basis	CIPPS reports for review and certification. 401, 402, 1615, 1408, 1040.

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

The Commonwealth gets the GFOA certificate each year. It works.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Full capability live ad hoc reporting.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To obtain management information for budgeting and ad hoc query capability. FINSYS reports provide the financial reports we need to prepare the schedules.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

VDOL: On-line browser based financial inquiry operation. It is really just a browser front end to an ORACLE Database query engine. Designed to be user friendly.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Detailed Financial Analysis	FINSYS	Budget Manager and Program Managers	Paper reports - Monthly
2.	Aging Schedule	RMS	Finance Office and RMS users in the Divisions	Electronic AD-Hoc but must be analyzed quarterly and should be reviewed monthly.
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	.1
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

User requirements for additions or enhancements. Information Systems Director and Data Base Administrator review the reports list at least annually. If a specific report has not been generated that year, they inquire (Finance Staff) as to whether or not it is still needed.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

The same users that have access to the Financial system itself. Since this is a modified ad hoc report generator, there is not count of how often it is used by agency staff. (VDOL report generator)

24. How many reports are produced annually?

unknown - user controled

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Yes, however, there is no known total of such applications. One known use is FAACS downloaded data that is used for inventory purposes.

2.

Monthly Reconciliation reporting,

3.

Quarterly receivables reporting,

4.

Year end reporting,

5.

Budget reports, Vehicle usage, travel mileage, information requests like this one!, etc.

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Make them more user friendly (Browser based and not requiring mainframe commands).
2.
FASTER. (enhance system resources)
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

- ☒ Yes
- ☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Budget and expenditure information	FINSYS	DPB analysts or Money Committee analysts	As requested
2.	Revenue information	FINSYS / Revenue Management System	DPB analysts or Money Committee Analysts	As requested
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.1
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

None

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Ad-Hoc reporting through FINSYS and RMS. Excel.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Driven by user needs and requests.
2.
Requests from client groups.
3.
Special reports requested by the General Assembly members.
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Flexible, great customer service, accurate, professional experienced employees.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Faster processing hardware

2.

Information Systems staff more involved in specialized report development than they should be.

3.

Reports produced from FINSYS should be easier to run.

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	.0
Band - 2	.0
Band - 3	.1
Band - 4	.2
Band - 5	.3
Band - 6	.1
Band - 7	.2
Band - 8	.0
Band - 9	.0
Contracted Labor	.0

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

CAPP Manual and Financial Reporting Directives

44. If you have any other concerns or comments about this functional area, please include them here.

None.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

DMHMRSAS' Office of Budget and Financial Reporting provides overall guidance to our hospitals and collects required disclosure and financial information. We then consolidate the information and submit it to the Department of Accounts Financial Reporting office.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Preparation of the allowance for doubtful accounts by revenue source code. This is very complex and not particularly useful to our operations.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

FMS II. (Financial Management System II). It is a product of Mitchell Humphrey and Company. It provides us with a number of modules that are not part of CARS. These include Consolidated General Ledger, Purchasing Ledger, Patient Fund Account Ledger, Cost Accounting Ledger, etc. We could not manage efficiently using only CARS.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

We download information from FMS II for submission to the CAFR.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

See answer to the previous question. We download data from FMS II for submission to DOA.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	1.0
Band - 6	1.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Do not use this function
Number of reports you generate on a recurring basis	None
Types of reports you generate on a recurring basis	None

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

DOA instructions are excellent.
DOA staff are very good.
Deadlines are reasonable.
DOA's use of technology in the process is very good.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Add a local fund component to CARS.

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

- ☒ Reporting
- ☒ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

This was done primarily as a result of being a very specialized entity in a health care environment.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Monthly Financial Report	FMS II	Senior Management	Manual by interoffice envelope
2.	GAAP basis financial statements	FMS II	Public entities	Set up on website
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	1.0
2.	2.0
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Inquire of management on a periodic basis. The system has an on line inquiry function that allows for ad hoc reporting by the user.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

Over 600

24. How many reports are produced annually?

12 monthly reports, 1 annual report and many although unknown in amount ad hoc reports.

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Access Data Base programs that support pharmacy operations.
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Move toward more accrual basis accounting on a regular basis
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Monthly Financial Report	FMS II	Senior Management	Monthly
2.	Annual GAAP Basis Report	FMS II	Outside Entities	Annually
3.	Annual Medicare/Medicaid Cost Report G Series	FMS II	Medicare and Medicaid	Annually
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	1.0
2.	2.0
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.	
2.	
3.	
4.	
5.	

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

FMS II
Excell
Access

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Legislative requests
2.
Audit requests from APA
3.
Requests from the Inspector General
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Timeliness of reporting
Ease of using the FMS II system

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	3.0
Band - 6	1.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

GASB Requirements, Medicare/Medicaid requirements

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

--

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To facilitate the management of the Agency financial resources

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Monthly budget vs actual expense report	FMS	Senior Management Team	Monthly
2.	Cost Center budget vs actual expense report	FMS	Cost Center Managers	Monthly
3.	Building budget report	FMS	Program Managers	Monthly
4.	Fund/Activity P & L report	FMS	Fund/Activity Directors & mgmt	Monthly
5.	Reconciliation	FMS	Accounting	Monthly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	.0
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Failure to meet management needs.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

- ☒ Yes
- ☐ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Analysis & reconciliation

2.

management reporting

3.

.....

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☒ Populate database

☐ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Easy to use
Flexible
Ability to pull from multiple data sources (modules)
Real time

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.3
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CARS is a dinosaur compared to today's web-based financial management systems, but perhaps that is okay. If CARS' primary function is to provide summary level financial information for the Commonwealth, then it serves its purpose. The State agencies that make-up the Commonwealth of Virginia represent a broad range of industries, healthcare, retail, law enforcement, transportation, corrections, etc. No one financial management system can effectively meet such a diverse group of business/operational needs. So perhaps, it is best for each type of industry to have its own financial management system that best meets their needs with summary data transferred to CARS.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Agency prepares supplemental financial data as required by the Comptroller's Directive on Financial Reporting.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

none

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Weekly and monthly
Number of reports you generate on a recurring basis	50
Types of reports you generate on a recurring basis	Payroll, Benefits, Accounting & Revenue reports

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

--

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

60

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Oyster Ground Leasing

2.

Commercial Licensing System

3.

Habitat Permit Tracking and Reporting System

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☒ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Federal Grant Reports	Access Database	Federal Granting Agency	as required in grant award
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

CARS, Access Database and manual records.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Oyster Restoration Expenditures
2.
Special Fund and Grant Fund Expenditures
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.2
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

DCE prepares and submits only the required attachments listed in the Directive issued to State Agencies by the Department of Accounts.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

N/A

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	N/A
Number of reports you generate on a recurring basis	30
Types of reports you generate on a recurring basis	CARS, CIPPS, FAACS

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

--

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Board Report	FINDS and Excel	Board Members	Paper - bimonthly
2.	Indirect Cost	Excel and Access	Federal Government	Annually
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	.1
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

FINDS, Excel and Access

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Expenditure vs. Budget
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Having a system that included expenditures and budget data.

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.2
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Utilize various sources to prepare financial statement attachments.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Fluctuation analysis

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Largely use central reports
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

--

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

Metafile - automated view of all CARS, CIPPS and FAACS reports

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

all DOA

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☒ Populate database
- ☐ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
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2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☐ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Treasury performs a variety of processes to comply with the Comptroller's requirements. The Comptroller's annual financial statement directive typically includes approximately 10 pages of supplementary information requests for Treasury. The majority of the information requested is compiled via Excel spreadsheets: the source of the data for the spreadsheets is as varied as the data requests themselves. We pull data from internally maintained spreadsheets, from internal Access databases, from statements provided by outside trustees, from our internally managed systems.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The most frustrating part of complying with the Comptroller's directive is all of the attachments to be completed. The attachments are often too rigid to be easily adapted to our very unique data structure and they are often tedious to complete. The data requested in the supplementary section of the directive does not pose any particular frustration other than the high volume of data to be generated in a very short timeframe while we attempt to maintain ongoing operations at an acceptable level.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

We maintain several systems to support the specific functions and programs for which we are responsible:

AvantGard APS 2 for investment accounting.

Debt Debtbase to account for the Commonwealth's outstanding debt.

CIVITAS to account and manage the Commonwealth's insurance programs.

Unclaimed Property System to administer the Commonwealth's unclaimed property statutes.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

We extract data from the various systems and manipulate it using EXCEL to provide the data in a format needed by the CAFR staff.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

Excel spreadsheets are used extensively to provide CAFR data. As detailed in item 1 above, the data is pulled from a variety of sources.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.1
Band - 4	.4
Band - 5	.3
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	multiple times on a monthly basis, maybe daily
Number of reports you generate on a recurring basis	three or more
Types of reports you generate on a recurring basis	trial balance, expense data such as 1408, 1428, 1426, 1427, 1433

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

1. data roll-ups work correctly
2. reports are available on a timely basis
3. history maintained online
4. DOA has qualified technical, very knowledgeable staff

15. Please list up to 5 opportunities for improvement to the Reporting process.

None

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To meet our agency's unique financial management responsibilities to the Commonwealth.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Authority financial statements	Excel generated	Gov, Authority boards, rating agencies	electronic
2.	LGIP financial statements	Excel generated	LGIP management, LGIP participants	electronic
3.	Investment reports	AvantGard APS2	investment staff	electronic
4.	Debt reports	Debt database	Treasury staff	electronic
5.	Insurance reports	CIVITAS	Treasury staff, actuary	electronic

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

User needs and requests would be the basis for any needed modifications. Also enhancements occur to meet the requirements established by authoritative standard-setting organizations like GASB.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

financial statements and supporting schedules are produced annually, most other reports are monthly

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Investment system - improve methodology to post revisions/corrections
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Investment Reporting	J. P. Morgan (master custodian)	Treasury Board	electronic
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

None

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Primarily Excel - appropriate spreadsheet developed based upon specified request.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Outstanding debt
2.
Historical debt information
3.
Investment activity
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

1. Because we controll the data, it is easy to access and manipulate to meet user needs
2. Data is maintained in Access and Excel and the tools available for analysis between those two systems provide flexibility.
3. Because the data is generally compiled in Excel, the end user has the option to easily manipulate the data futher to meet their needs.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
None
2.
.....
3.
.....
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.3
Band - 5	.2
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

There are specific state statutes regulating debt, investments, risk management, and unclaimed property administration. Based on the nature of the reengineering, these may or may not have to be addressed/ changed. There are also federal regulations regulating debt issuance, management, and accounting.

44. If you have any other concerns or comments about this functional area, please include them here.

None

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

New to the agency ... have not went through this process yet.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

New to the agency ... have not went through this process yet.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Use excel for simplifying reports

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Enter data from cars reports

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

n/a

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	monthly
Number of reports you generate on a recurring basis	60
Types of reports you generate on a recurring basis	cars-faacs-cipps

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Just started using reportline this month. Being able to download the reports for electronic historical data.

15. Please list up to 5 opportunities for improvement to the Reporting process.

CARS is obsolete and needs to be replaced with a web-based system or a more user friendly. State should be using some type of on-line system similar to universities in the state and business and industry. FRS, banner, peoplesoft, etc.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☒ Reporting
- ☐ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Need to be able to track revenue/expenditures by unit

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Monthly expenditures	Excel	Upper administration	Monthly
2.	Grant expenditure reports	Excel	Grant administrators	Monthly
3.	Status of entire agency	Excel	Council members	6 times a year
4.	Bi-annual grant reports	Excel	Granting agency	2 times a year
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	.2
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Regarding grants - reporting requirements of grantee. Complexity and ease of understanding.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

20-30

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Analysis of spending
2.
Cumulative expenditures
3.
Status of the entire agency and units within
4.
Informational
5.
Projections

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☒ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

Compatability with cars

2.

Extracting data

3.

Need for current data

4.

Less time consuming

5.

Automation

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	1.0
Band - 6	1.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

Outdated mandatory state systems that don't talk to each other

44. If you have any other concerns or comments about this functional area, please include them here.

Need more up to date systems to manage financial data with state agencies. CARS, FATS, etc are outdated and not user friendly. State needs to invest in a web-based system that would be on-line and easier to use.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Preparation and submission of individual attachments.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

n/a

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	2.0
Band - 6	
Band - 7	
Band - 8	2.0
Band - 9	1.0
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	n/a
Number of reports you generate on a recurring basis	n/a
Types of reports you generate on a recurring basis	n/a

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

n/a

15. Please list up to 5 opportunities for improvement to the Reporting process.

n/a

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	n/a			
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

n/a

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

n/a

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

n/a

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

n/a

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

n/a

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
n/a
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

n/a

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

n/a

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Follows the directions published by DOA.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

pass through transactions.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	1.0
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	just receive authorization to use.
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Standardize.
timeliness
provides any report you can think of.
extremely accurate
can be taylored to specific need

15. Please list up to 5 opportunities for improvement to the Reporting process.

need fields for # of related units that would tie to preformance measures. Eva and SWAM needs to use the CARS vendor Edit table which would then automatically provide required reports. Need a procurement document number cross reference, not necessarily eva number. Need a better strealined menu ad hoc report written, something similiar to a data base filtering process. Need an automatic update from FATS real time so we do not have to wait for the once a week load from DPB. Need Cars to incorporate the CIPPS inquiry menu.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☐ Reporting
- ☐ Inquiry
- ☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Invoice preparation	FINDS/Sequel Data base	Federal Government	excell and hard copy
2.	High level budget	finds	Management	Excell and hard copy
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	2.0
2.	.2
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

If it is determined that there is an organizational need and value would be added the report will be generated.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

Thousands

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.

.....

2.

.....

3.

.....

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☒ Populate database

☐ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Improved Document Imaging Technology
2.
Improved data base cross over referencing
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Invoice reports to the Federal Government	Finds/Sequel Server	U.S. Government	Hardcopy and electronic
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	2.0
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
same as the other described above
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Finds data, Agency data in sequel server. Either one of these can be taylored to gather the specific data needed to generate the required report.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
How much did you spend at staples or any vendor
2.
What is the total cost of travel for an individual
3.
how many time did you exceed the subprogram budgeted amount during the FY
4.
What is the anticipated budgeted shortfall for the FY
5.
How many employees are receiving Deferred match and how much will this cost the State.

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Same as stated in the previous question relative to this topic.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
Look at moving the CARS AD hoc report function to a data base query
2.
same as suggested above.
3.
Build an add-on for preformance measures
4.
Build the report card matrix into the system so this data could be managed from the Governor's office
- 5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	1.0
Band - 4	2.0
Band - 5	1.0
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

Every one wants change for the sake of change. If some of these people would sit down and study the detail operation of CARS it may be evendent that this system can do about anything you want if you know how to set the edits and pull the data. JMU experience in moving to people soft financials is a case where a lot of effort was expended and the resulting improvements were not that impressive over what could have been gained by twecking CARS.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

We are a small agency and only have to complete the attachments for DOA which in turn completes the CAFR based on info we provide in our attachments along with other agency submissions.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

leave reporting has the most steps and is the most time-consuming - If we used DOA's leave reporting system in CIPPS, this would be automated but we see benefits to having an in-house leave system.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.2
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Just began using it - will be monthly
Number of reports you generate on a recurring basis	10
Types of reports you generate on a recurring basis	reports on expenditures and revenue

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

--

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Qualifying Federal Expenditures	excel	internal to fiscal operations	
2.	Reforestation of Timberland incentives report by landowner and type of incentive	internal system (IMS)	internal to management	interagency mail monthly
3.	report of all GLA accts by fund and subprogram which is something CARS does not provide	database	internal to fiscal operations	
4.	detail of expenditures YTD - CARS reports only show detail for the month -	FINDS into a database	internal management	interagency mail monthly
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	.2
3.	.2
4.	.2
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

depends on the sensitivity - we have different security access levels - some information is made available to all 300 FTEs - other info is only available to one or two in the fiscal team

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Water quality violations

2.

Fire suppression historical records - number of acres burned/number of structures lost/cost of fire

3.

escrow required by code to be kept in county for Reforestation of Timberland Program

4.

Historical reports on net timber proceeds of all state-owned land in the commonwealth

5.

Nursery operations is run like a business with no general fund support - they keep financial records on costs as well as sales

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☒ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

We have old systems and are anxiously awaiting our new IFRIS system which is an overdue update to existing systems we use

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.5
Band - 5	.5
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Museum provides information from its Local Funds System and the Foundation. All other information is gathered by DOA.

Museum and Foudation must close out FY before being able to provide financial data for CAFR.

Once year end financial statements are prepared, DOA will request these statements from VMFA and the VMFA Foundation

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The deadlines for Year-end reports as well as Agency year end information, rushes agencies to complete reports that some information may take time to gather.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Micro Information Products (MIP)
Processes all Local Fund activities.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Excel spreadsheets for Special Reports

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

Excel Spreadsheets are linked to Financial Data to produce agency specific reports.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.2
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	N/A
Number of reports you generate on a recurring basis	N/A
Types of reports you generate on a recurring basis	N/A

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

VMFA is not a user of Reportline

15. Please list up to 5 opportunities for improvement to the Reporting process.

VMFA is not a user of Reportline.
To improve Reportline, you should allow Agencies to print reports by Cost Center without having to print all transactions for the Agencyl.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Monthly Financial Statements	EXCEL	Museum Board, Staff	Mail, E-mail
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

N/A

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

50 to 100

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Excel supports Financial and Budgeting Reports
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

Interface with CARS & CIPPS

2.

Printing of reports thru FINDS

3.

All information in one system

4.

month and year-end closing smoother.

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Indirect Cost	EXCEL	Federal Government	Mail
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

None required. only a once a year report

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Microsoft Excel, Access, Word

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Budget to Actual Expense Reports
2.
Monthly comparisons of Financial data
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Provides management with current financial data to manage budgets accurately.
Provides Quarterly information to Board for financial decision making.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Easy downloading of information from CARS

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.5
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

We receive instructions/directives from DOA with a checklist to determine what parts of the CAFR apply to our agency. We determine which attachments to complete and those n/a. We complete and send in by the deadline and copy APA on these reports. For the APA single audit we comply with any requests from them. I don't believe our agency's federal grants would be material enough to come under this review.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Any GASB requirements. In a small agency it is not always apparent as a subset of the CAFR the intent or measurement that should be used to properly report information. Clearer guidelines could be provided.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	0
Number of reports you generate on a recurring basis	25
Types of reports you generate on a recurring basis	CARS

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Know what to expect, hasn't changed much in years.
Reportline was a good idea but not executed so that our agency could use.
Can download through FINDS.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Real time reporting capabilities, with query and on demand reports.
Customizable reports.
Easier means of formatting and printing.
Opportunity should exist to use both remote printing and ad-hoc (Reportline)

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Budget analysis, projection, planning and tracking
2.
Grant Tracking
3.
Cash Management for special funds.
4.
Procurement logs and encumbrance monitoring
5.
Accounts Receivable detail and tracking

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

Easier method of formatting special request reports from existing data

2.

Easier download, more current, capabilities from CARS

3.

Capabilities may exist for easier reporting in Excel or Access, but time does not permit setting up formatting.

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Accounts Receivable Summary	Web Based DOA creation	DOA	Online keying Quarterly
2.	Federal Grant Reports	Manual	U. S. Dept. of Interior	Paper - Annual
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	.2
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
user friendly keying on AR web site
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

FINDS download and manipulation in Excel. Manual Research in CARS reports.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

Surveys requesting budget or expenditure information

2.

Budget vs. Actual, Appropriations vs. Spending

3.

Expenditures by category

4.

Actual program costs for particular program

5.

Salary and benefits

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Provide information with fairly quick response time.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Time to create canned formats or automatic downloads

2.

Real time data from CARS that could be accessed

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Transfers data to DOA trial balance format and submit to DOA an eexcel attachment via e-mail

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Conversion to government-wide statement of activities

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Quick Books - Agency prepares accrual accounting statements for internal control and preparation for DOA reporting

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	.5
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	monthly
Number of reports you generate on a recurring basis	5
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Ability to access reports online as needed.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Ability to convert to excel

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Financials	Quick Books	OHB Management	Posted to Agency server.
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.5
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

4

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Detailed financial Statements
2.
Produceing IATs & Receivables
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☒ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.3
Band - 5	.5
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Balance sheets/income statements produced from our Peoplesoft system - few changes necessary for CAFR. Cash flow statements and notes require some manual work.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Peoplesoft Financial Management System - general ledger, accounts receivable, accounts payable, purchasing, asset management

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

Gather data on accrued compensated absences & some required data required for notes to the financial statements.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	None
Number of reports you generate on a recurring basis	None
Types of reports you generate on a recurring basis	None

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Accrual accounting
Receivables reporting
Payables reporting

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

GAAP basis financial statements needed

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Cost center reports - budget vs actual	Peoplesoft	VITA Managers	Monthly/online
2.	Directorate level reports	Peoplesoft	VITA Managers	Monthly/online
3.	Revenues by customer	Peoplesoft	VITA Managers	Monthly/online
4.	Revenue/expense by product	Peoplesoft	VITA Managers	Monthly/online
5.	Balance sheet/Income stmt	Peoplesoft	VITA Managers	Monthly/online

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

REquests by management and other users

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

50-70

24. How many reports are produced annually?

600 per month

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.

.....

2.

.....

3.

.....

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Earlier reporting - delays due to manual entries
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	BS	Peoplesoft	ITIB, JLARC, DOA	Semi-monthly, monthly, annua
2.	Income stmt	as above	as above	as above
3.	cash flow	as above	as above	as above
4.	A/R Report	as above	DOA	quarterly
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
ITIB uses Word financials - must be manually keyed into report
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Peoplesoft query tools/ nVISION reporting

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Ad hoc queries
2.
Specific revenue queries
3.
Product specific reports
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Data readily available
Query tool powerful
Export data to excel
Query tool available to all employees with a need for it

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
Need to teach more employees to use the Query tool
2.
.....
3.
.....
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.5
Band - 6	.5
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

ABC follows Comptrollers Directive from DOA.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Not difficult but very time consuming.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

KPMG Performance Series. Allows ABC the ability to operate with full accrual accounting

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

Slight differences in format. Minimal use of crystal and excel.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.1
Band - 6	.3
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

n/a

15. Please list up to 5 opportunities for improvement to the Reporting process.

n/a Since ABC operates on full accrual, our internal system serves all our reporting needs. CARS reports are only used for DOA compliance purposes.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

ABC's statutory requirement for full accrual accounting + integration with all ABC field systems

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	ABC Balance Sheet	Performance	ABC Management	Online, Monthly
2.	ABC Profit & Loss Statement	Performance	ABC Management	Online, Monthly
3.	ABC Balance Sheet & P & L's	Performance	DOA	Paper, Quarterly & Annual
4.	ABC Store P & L's	Performance	ABC Management	Online, Monthly, Quarterly, Annually
5.	Inventory Management	MIPS/BRio	ABC Management	Online, Monthly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Since the financial system has crystal reports already bundled, most reports are easily developed by accounting personnel. ABC also uses other end-user reporting tools to facilitate report development for other systems.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Financial Managemnet

2.

Inventory Management

3.

Store Sales Tracking

4.

Numerous Others

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☒ Populate database

☐ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
On-line access to reports
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	ABC Annual Report	Numerous	GA, ABC Management, Citizens	On-line, Print
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

Works well.

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Very few required. Crystal reports makes process very easy.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
APA inquiries
2.
Management inquiries
3.
Supplier inquiries
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Crystal reports allows for easy development of reports for ABC's requirements.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

Statutory Requirement for full accrual accounting

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Following the State Comptroller's directive, DOC provides required supplemental CAFR information utilizing a variety of manual methods combined with spreadsheet tools. DOA does not require the DOC to submit formal financial statements for On-CARS information. DOC utilizes standalone PC-based applications to capture Off-CARS information and develop various reconciliations.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Due Dates. Especially multiple requirements that fall within a relatively short period.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

SQL (Structured Query Language)Server. Information from FINDS downloads is fed into SQL which produces DOC specific financial management reports. SQL does not capture Off-CARS data.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

All Off-CARS information must still be manually collected and compiled.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	.0
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Daily
Number of reports you generate on a recurring basis	N/A
Types of reports you generate on a recurring basis	individual transactions for verification, summary data for reconciliations.

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

1. Availability
2. User friendly
3. Timeliness
4. Efficiency

15. Please list up to 5 opportunities for improvement to the Reporting process.**Reports Produced from Internal Agency Systems****16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

- ☒ Reporting
- ☐ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

No agency specific reports provided by CARS in the detail required by DOC agencies.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Various	SQL Server application	Fiscal Officers	Electronic
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Management/user request.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

N/A

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Expenditure Projections
2.
Budget/Cost Analysis
3.
Inventory Valuations
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

N/A

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	1099 information	AMS software	IRS	Electronic
2.				
3.	Statistical reports	SAS	Public, Legislators, Media	Electronic
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.0
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

N/A

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

FINDS, EXCEL, ACCESS.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

Various Budget/Cost Analyses

2.

.....

3.

.....

4.

.....

5.

.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

1. accuracy
2. completeness
3. timeliness
4. flexibility

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

N/A

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	.0
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

N/A

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Downloads, compare to prior year confirm with other agencies, review requirements (GASBE 34 and others)

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Time limits – have to do CARS and Funds not on CARS at same time.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

MS ACCESS database - in-house system database with links to data for user friendly reports for all organization units and individual grants

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Everything - the database is only a download from CARS with detail information to enable both current and prior year's research and comparison.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	2.0
Band - 5	.5
Band - 6	1.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	N/A
Number of reports you generate on a recurring basis	N/A
Types of reports you generate on a recurring basis	N/A

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

WebBears, Finds, Upload data to CARS

15. Please list up to 5 opportunities for improvement to the Reporting process.

Intergration of HR and financial information and data (CARS, ProBud, eVA, PMIS, CIPPS and WebBears)

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

☒ Reporting

☐ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Will allow a more unified way to track transactions and produce reports based on the information received. The data entry aspect can be controlled better and therefore will reduce the number of mistakes and inconsistencies thereby enabling the agency to respond to HR and financial inquiries more accurately.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Personnel Projections	Access	Business Mgrs, Directors, Budget, etc	Automatically distributed monthly to network folders
2.	Monthly CARS Reports	Access	Business Mgrs, Directors, Budget, etc	Automatically distributed monthly to network folders
3.	YTD Expenditure Rollup	Access	Business Mgrs, Directors, Budget, etc	Automatically distributed daily to network folders
4.	YTD Expenditures by Vendor	Access	Business Mgrs, Directors, Budget, etc	Automatically distributed daily to network folders
5.	LTD Grant Detail	Access	Grant Mgrs, Budget, etc	Automatically distributed daily to network folders

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	1.5
2.	1.5
3.	1.5
4.	1.5
5.	1.5

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

General reports are distributed to users and then per request, are tailored to user need and requests - such as: breakdown of data by program; project; time period; etc.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

200-300 All who manage or assist in managing a cost code or grant have access to the reports

24. How many reports are produced annually?

Approx 6000 annually, reports are produced daily and monthly for the entire FY

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Budget Management

2.

Expenditure Tracking

3.

Grant Management

4.

Appropriation/FATS Tracking

5.

Historic reference for prior years CARS detail data

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

Ability to have the end user be able to create and modify their own reports.

2.

Not need specific software installed on a PC to view reports

3.

Have all financial and HR systems tie together for ease of generating reports and information

4.

Ease in changing report data - ie design, contents, etc

5.

Ability to check financial data from an authorized PC outside agency

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Impact Statements	Excel	Legislatures, Agency Head, Management	Via Email as needed/requested
2.	Quarterly Reports for Grants	Word/Excel	Outside Entity	Via email and 'hard copy' on a quarterly basis
3.	Financial Statements	Excel	Outside Entity	
4.	Financial Data	Excel	Outside Entity	
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
Electronic distribution (web based)
2.
Integrate all financial applications and HR data
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Tools used: Excel, Access, Word, CARS/FINDS. Financial data is downloaded from CARS using FINDS and then manipulated in Excel to match the formatting used in the CARS Access database. Information is then imported into Access and reports are generated based on the request received. Other formats used are Excel spreadsheets and Word documents. Data can be transmitted via email or the agency's internal network after which the recipient is notified.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Impact Statements
2.
Average position salary by region
3.
obligations by unit as of a point in time
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

More timely information, Ability to tailor reports to user needs, email data to outside sources, retain historical data for comparison

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

2.

3.

4.

5.

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	3.0
Band - 4	3.0
Band - 5	1.0
Band - 6	1.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

The processes are based on the Financial Directives DOA sets and instructions from DPB.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Federal fund analysis - VSDB-S never matches DOA
Sometimes due dates are hard to meet due to other priorities.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.2
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

Speed up month end close. By the time we get month end reports, half the next month has past. Never have up to date figures.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	budget update	Excel spreadsheet	Supervisors	face to face monthly
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

.....

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
institutional funds
2.
grant balances
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☒ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Excel spreadsheets

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
grant balances
2.
year to date budget updates
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.1
Band - 4	
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

It would be helpful if we had an internal accounting system compatible with CARS

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

- * Comptroller's Directive with required attachments are made available on DOA's website.
- * Appropriate attachments are completed and submitted electronically in accordance with established due dates.
- * Required information is gathered using CARS and DMME's Internal Systems.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

None.

3. Does your Agency use a system other than CARS for internal financial management?

- ☒ Yes
- ☐ No

4. Please name and describe this system.

DMME ERP Excel and Access systems. Modules include Budget Tracking, Accounts Payable, Pool Bond System, Bond Forfeiture Tracking System, IAT Tracking, and Civil Penalty Tracking.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

- ☒ Yes
- ☐ No

6. What manual processes, if any, must you still perform to gather this information?

Retainage Payables/Receivables.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Continual
Number of reports you generate on a recurring basis	12
Types of reports you generate on a recurring basis	Revenue, Expenditure, Appropriation, Table Maintenance

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Reportline works extremely well.

15. Please list up to 5 opportunities for improvement to the Reporting process.

None recommended.

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Provide needed internal controls; timeliness; integration with other DMME internal systems; able to customize the system to meet unique agency needs; less costly than using a commercially available system.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Revenue	Internal	Management/Staff	Various
2.	Expenditures	Internal	Management/Staff	Various
3.	Budget	Internal	Management/Staff	Various
4.	Procurement	Internal	Management/Staff	Various
5.	Personnel	Internal	Management/Staff	Various

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.1
3.	.1
4.	.1
5.	.1

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

As reporting needs change, DMME management assess the need to change report functions in the agency system. Small system changes are completed ad hoc by agency programming staff. Large changes are prioritized with other programming needs by the DMME strategic team.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

112

24. How many reports are produced annually?

4600

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Timesheet tracking - ACCESS
2.
Revenue and Expense Summary - EXCEL
3.
Cash Balance Report - EXCEL
4.
Pool Bond Report/Reconciliation - EXCEL
5.
Expenditure Distribution Ratio Schedules - EXCEL

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.	None recommended.
2.
3.
4.
5.

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Accounts Receivable	Various	Central Agency	Online/Quarterly
2.	Federal Financial Status Reports	EXCEL/WORD	Federal Agencies	Various/Various
3.	Nongeneral Fund Revenue Estimates	EXCEL	Central Agency	Email/Annual
4.	Financial Statement Submittals	EXCEL	Central Agency	Email/Annual
5.	Mandated Reports to the Legislature	EXCEL/ACCESS	Central Agency & Legislature	Email/Annual

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.1
3.	.1
4.	.1
5.	.1

34. Please suggest up to five enhancements that would significantly improve the process.

1.
None recommended.

2.
.....

3.
.....

4.
.....

5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

We assess the data needed for the report and the possible sources of the data. Data is then gathered from DMME internal systems such as our ERP, from CARS, or from stand alone EXCEL, WORD, ACCESS files. If needed, DMME programmers will develop an ad hoc report out of our automated systems if standard reports cannot produce the needed data. Data is placed in the report formats or a report format is developed. The report is given a quality control check by agency managers and delivered to the requester.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Civil Penalty Information
2.
Budget and Appropriation Information
3.
Personnel Information
4.
Grant Information
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

- * Accuracy
- * Timeliness
- * Ability to provide detailed information
- * User Friendly
- * Flexibility

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

None Recommended.

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.1
Band - 4	.3
Band - 5	.2
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

There are various specific federal grant reporting requirements set as conditions of individual grants.

44. If you have any other concerns or comments about this functional area, please include them here.

Personnel time estimates to the nearest 1/10 may overestimate small tasks in some bands.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

After CARS and FAAS are reconciled for the year ending, we prepare the annual reports from the financial data of FAAS.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Accrual entries;
GASB 34 - Accrual reporting

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

a) FAAS - (Oracle Financials) VDSS' unique financial system;
b) LASER - Local VDSS Reimbursement System

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Run Excel Spreadsheets

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Access Effective 5/05; Not enough time to evaluate
Number of reports you generate on a recurring basis	Access Effective 5/05; Not enough time to evaluate
Types of reports you generate on a recurring basis	Access Effective 5/05; Not enough time to evaluate

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

1. The ability to access reports from computer;
2. Timeliness (Reports were always received late, which impacted on our deadlines and cause undue stress);
3. Paperless file system;
4. Location - Easy accessibility

15. Please list up to 5 opportunities for improvement to the Reporting process.

1. Download capabilities into Excel spreadsheets;

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Complete Financial System, due to multi entities and different level of cost allocation.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Funds Available	Oracle Financials	Users	User can create as needed
2.	CFDA Specific	Oracle Financials	Grant Unit	User can create as needed
3.	Grant Specific	Oracle Financials	Grant Unit	User can create as needed
4.	Federal Grand Reports		Feds	
5.	Cash Management	Spreadsheet		User can create as needed

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

As requested by users

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

Five

24. How many reports are produced annually?

Too many to estimate

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Cost Allocation

2.

Fund Split

3.

4.

5.

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☒ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Title of report needs to reflect the contents
2.
Grant and Project module in system
3.
Chart of Accounts Setup
4.
Simple account control mechanics
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Federal Grant Report	FAAS	Feds	Monthly, Quarterly, Annually
2.	Locality Report	FAAS	APA	Annually
3.	Statistical Reports	MAPPER, APECS, LASER, ADAPT, Web Page	Various Federal Agencies	Monthly, Quarterly, Annually
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

1. Excel
2. FAAS
3. Web Base Reports

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Personnel Cost Reporting by Cost Code
2.
Approp/Allotment - FAAS/CARS Exp
3.
Federal Cash Flow Statement by CFDA
4.
Pass-through - CARS/FAAS
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

1. Timely
2. Reliable Data
3. Ability to be Specific and Detailed
4. Easy Access
5. User Friendly

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

To generate reports for CAFR, Modified Accrual Trial Balances

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	2.0
Band - 5	2.0
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Collect data from CARS and PeopleSoft
make required closing journal entries
complete required schedules

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

conversion of internal service fund financial statements to governmentwide
statement of activities

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

PeopleSoft - AP/AR/GL/Time and Labor

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

reporting revenue by internal/external activity

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.1
Band - 4	.1
Band - 5	.4
Band - 6	
Band - 7	.1
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	not available to our agency
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

vendor payment reports
appropriation control

15. Please list up to 5 opportunities for improvement to the Reporting process.

interagency transfers

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

accrual accounting-eliminate paper timesheets-additional mgmt reports-improve timeliness of reports

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Balance Sheet and Profit & Loss	PeopleSoft	Internal Management	Automated - Monthly
2.	Budget to Actual	PeopleSoft	Internal Management	Automated - Monthly
3.	Project/Job Costing	PeopleSoft	Internal Management	Automated - Monthly
4.	A/R	PeopleSoft	Internal Management/DOA	Automated - Monthly
5.	Labor Distribution	PeopleSoft	Internal Management	Automated - Monthly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	.1
3.	.1
4.	.2
5.	.1

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Management request - review by financial staff- approval of Controller

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

10

24. How many reports are produced annually?

4000

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

PeopleSoft
Excel
FINDS

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Detail of specific expenditures
2.
historical cost data
3.
project costs
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Easy to produce reports
reports can be produced timely and quickly
8 years of historical cost data available online

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	1.2
Band - 5	1.0
Band - 6	
Band - 7	.2
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

DOA publishes Comptroller's Directives detailing various Attachments to be prepared. CARS, an Access database, spreadsheets and manual records are used to obtain and accumulate the data necessary to complete the Attachments. The Attachments are then submitted to DOA and APA.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The reporting of federal grant subrecipient payments between state agencies. Because of timing differences and differences account coding, reconciling financial activity between multiple agencies is time consuming. The modified accrual reporting requirement means that a good deal of time is spent producing manually reports to comply with the directive. (bs)

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Microsoft Access is used to prepare monthly financial reports which are not available on CARS. Access is also used extensively for ad hoc reporting and analysis, often over multiple years.

DCR also has an Access database for accounts receivable tracking and reporting.

DCR uses IDSS (Integrated Decision Support System), an Oracle-based system, to process and enter procurement transactions throughout the state (as many as 40 locations), up to uploading payment authorization to CARS. DCR also uses IDSS for vendor payment analysis. However, IDSS is not a full blown accounting system, but rather acts like a front end loader to CARS.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Information for preparation of Attachments required by DOA is gathered using CARS reports, FINDS, Microsoft Access, and the Parks Reservations system. Often the data is accumulated on spreadsheets, then all of the data is then manually entered on the Attachments.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.3
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Just starting to use Reportline (effective June 1)
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Standard reports are created with the appropriate frequency.
FINDS is useful as a data analysis tool.

15. Please list up to 5 opportunities for improvement to the Reporting process.

- 1)make details of financial activity available for a longer period of time.
- 2)allow CARS reports available through Reportline to be imported into Excel for analysis

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

Access is used to create reports from CARS information.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	various revenue reports	access	division directors and staff	manual distribution, monthly
2.	various disbursement reports	access	division directors and staff	manual distribution, monthly
3.	cash activity reports	access	budget manager	manual distribution, monthly
4.	net income reports	access	state parks director and staff	manual distribution, monthly
5.	accounts receivable reports	access	finance manager	manual distribution, quarterly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	
3.	
4.	
5.	.1

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Reports are created and enhanced based on requests from department staff. Reports are deleted based on agreement as to usefulness between division of finance and other divisions within the agency.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

approximately 700 (50/month X 13 months (June twice) and 50 Ad Hoc Reports)

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Project control for Natural Heritage Division and DAC (Design and Construction) Section

2.

Revenue management for State Parks

3.

Grant Management for all Divisions

4.

5.

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
better integration of data to prevent having to combine multiple reports
2.
make ad hoc reporting and analysis available to more personnel
3.
disburse reports electronically
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	accounts receivable	access	DOA	electronic, quarterly
2.	federal grant summary reports	access, word	federal agencies	manual, annually
3.	subrecipient grant reports	access, word, excel	state agencies	manual, quarterly
4.	State Parks Projects Fund	excel	DCR Board	manual
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	
3.	.1
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
intergration of data collection and reporting facilities
2.
enable more personnel to create their own reports
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Most reports are generated using the Access database and Excel spreadsheets.
When questions arise, Finance extracts the data and reports the results in a useable format.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

total revenues collected by revenue source code

2.

total disbursements for a cost code or project for a specified period of time

3.

list of detailed activity for a multi year project/grant

4.

flex analysis for auditors

5.

fuel consumption data for DMME

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Accurate
Verifiable to CARS
End users can make decisions based on the data

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
An Agency Accounting system that feeds CARS
2.
More timely reporting
3.
Ability to download DOA reports and sort info
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.2
Band - 4	
Band - 5	.5
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

An internal accounting system would benefit this entire process

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Agency submits required attachments to DOA as required in the Financial Statement Directive

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The deadlines which coincide with other peak workload requirements at the agency

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Aviation Accounting System (AAS) is used for encumbrance accounting (both purchase orders and all grant in aid programs).

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Attachments don't require a great deal of effort, but we gather some information on spreadsheets

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Cost center reports work well.

15. Please list up to 5 opportunities for improvement to the Reporting process.

CARS needs to be able to incorporate encumbrance accounting and reporting.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☐ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

CARS does not incorporate encumbrance accounting and reporting.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Revenue	Aviation Accounting System (AAS)	Agency management	Manual, monthly
2.	Expenditure	AAS	agency Management	manual, monthly
3.	Budget Status	AAS	agency management	manual, monthly
4.	Outstanding encumbrance	AAS	agency management	manual, monthly
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

100

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
grant management
2.
travel advances
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	grant management	Airport Information Management System	agency management and Va Aviation Board	manual, bi-monthly
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

CARS, Aviation Accounting System, Excel spreadsheets, FINDS, and downloading process

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Produces information needed by agency.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.2
Band - 6	.1
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

VDEM prepares required Attachment information. We utilize FINDS Download data in Excel spreadsheets, and sort/filter the information to provide the Attachment requirements.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Meeting timeline requirements for variance analyses

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

In conjunction with CARS, we use an in-house developed Access database. This requires dual entry of most CARS data.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

FINDS downloads into Excel spreadsheets and manipulate the data to obtain requested information.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	occasionally
Number of reports you generate on a recurring basis	39
Types of reports you generate on a recurring basis	CARS, CIPPS payroll & CIPPS leave

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

- 1) Data reflects what is keyed into CARS/CIPPS
- 2) Agency ability to establish their cost & project codes and the coding hierarchy

15. Please list up to 5 opportunities for improvement to the Reporting process.

- 1) CARS on-line reporting ability, with ability to manipulate the data through filter/sort functions
- 2) Availability of CARS data on a routine basis, not just month-end
- 3) Availability of prior years' data and project-to-date information

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☒ Reporting
- ☒ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To track invoices from receipt through payment, to provide an ongoing history of transactions, to provide up-to-date data

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Budget to Actual Variance Rpt	Access database	Agency managers	Monthly hard copies
2.	Cost Center Budgets	Excel Spreadsheet	Agency managers	Annual hard copies
3.	AMEX SPCC Payment Request	Access database	AMEX SPCC Cardholders	Monthly hard copies
4.	Financial Grant Reports	Access database	Federal grantor agencies	Quarterly hard copies
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.2
3.	.1
4.	.1
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

As needs arise or change, agency reports are enhanced, deleted or added.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

of reports produced annually is impacted by a variety of financial, circumstantial, and disaster-related factors

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Budget

2.

Accounts Payable

3.

Invoicing

4.

Grants Accounting/Management/Administration

5.

Payroll

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Interface with CARS/CIPPS to eliminate dual entry
2.
Ability to generate a new report without having to write a report program
3.
Multiple reporting hierarchies
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Variance Analyses	Excel and/or Access	APA	Annually - electronically
2.	Financial Reporting - Grants	Excel and/or Access	Federal granting agencies	Quarterly - electronically and hard copies
3.	Progress Reporting - Grants	Excel and/or Access	Federal granting agencies	Quarterly - electronically and hard copies
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.1
3.	.1
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

We utilize CARS FINDS Download data and data retrieved from our internal Access databases. We use sort/filter functions to obtain the requested information.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Costs for Declared Disasters
2.
Revenues for Declared Disasters
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

- 1) Data is more current than CARS
- 2) Ability to determine reporting parameters
- 3) Availability of historical and project-to-date information

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
CARS on-line reporting ability with ability to sort/filter data
2.
Availability of current information (not just month-end)
3.
Availability of historial/project-to-date information
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.4
Band - 4	.5
Band - 5	.6
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	.5

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

VCE has an fully automated and integrated accounting and manufacturing sytstem (Syteline). The system has financial statement reports that are used as the starting point for input into the financial statement template for the CAFR. Some line items require modification or further breakdown, which we document in our workpapers, typically an EXCEL spreadsheet.

The Statement of Cash Flows and reconciliation is prepared via EXCEL spreadsheet and FRM-13 report.

All other tabs are reconciled from spreadsheets to our general ledger then to the template. VCE also reconciled required elements in CARS to our internal system.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Identifying revenue by customer is one of the most time consuming tasks. Our system tracks account by bill to addresses so if there are multiple accounts for one agency, we must compile the balances. In addition, certain transactions, such as discounts for early payment don't track easily to the customer.

The reconciliation to the Statement of Cash Flows can also be challenging if non-cash adjustments are made or if fixed assets are included in A/P balances.

The due date keeps getting earlier in August but we must hold our books open for accruals. With limited staff, this makes turnaround challenging.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

As noted, "Syteline" is VCE's automated system. VCE uses the General ledger, A/R, A/P, Purchasing, Inventory, Customer Service, and Manufacturing modules. The System is fully integrated. A/P payments interface with CARS and the PO modules interfaces with eVA.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

Our internal system does not prepare cash flows. In addition, our format is somewhat different. As such, we must consolidate some line items and break out others.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

n/a

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	5.0
Band - 4	3.0
Band - 5	1.0
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	1.0

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	minimal
Number of reports you generate on a recurring basis	3
Types of reports you generate on a recurring basis	FAACS, Payroll,

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

1. Accurate information.
2. General ease of use.
3. Capable of downloading reports into a Word Document and e-mailing management team.
4. Security of data. Internal controls.

15. Please list up to 5 opportunities for improvement to the Reporting process.

1. Further interface CARS cash receipts with Syteline.
2. Refine classification of vendors and customers.
3. Reduce system processing time to generate reports.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☒ Reporting
- ☐ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

VCE's an Internal service fund and must produce GAAP basis financials. We're full accrual and have complex inventory/manufacturing/costing requirements.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

- ☒ Yes
- ☐ No

19. Please name and describe the system.

Same system but we had to develop specific reports to support various departments.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Vouchers payable	Syteline	Fiscal Staff/Mgt	daily
2.	lower cost/market	Syteline	Cost Accounting	monthly
3.	production requirements	Syteline	manufacturing	daily
4.	open customer orders	Syteline	sales/fiscal mgt	daily/weekly
5.	PO receiving reports	Syteline	A/P	daily

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Staff or management identify the need for additional information. Mgt goes to IT staff and communicate the need. IT system programmer attempts to develop the report and reviews with mgt/staff.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

all, but it varies by function

24. How many reports are produced annually?

can't be determined

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Accounting/Finance
2.
procurement
3.
order entry
4.
marketing/sales
5.
administrative

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
easier download from Syteline to EXCEL
2.
easier download from EXCEL to Syteline
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

- ☒ Yes
- ☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Accounts Receivable	on-line/web-based excel reports	DOA	Quarterly
2.	Reconciliations/ CARS-Syteline	on-line/web-based excel reports	DOA	Monthly
3.	Controller's Directive	excel/word	DOA/APA	annual
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
Allow print ranges on all FAACS/CARS reports
2.
Enhance printing options such as allow 2-sided printing
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

n/a

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
n/a
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

See prior strengths

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

It is essential that all system modules are integrated and interface with CARS/eVA. Cost Accounting is a critical component to VCE's internal system.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

When directives are available online, they are printed and the calendar provided by DOA is used to ensure all directives are completed and sent by the deadline noted on the calendar.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

None

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	1.0
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	N/A
Number of reports you generate on a recurring basis	N/A
Types of reports you generate on a recurring basis	N/A

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

We just received access to Reportline. The reasoning behind asking for access was the savings on paper and the instant access to the information.

15. Please list up to 5 opportunities for improvement to the Reporting process.

N/A

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	VSF Financial Statement	Excel	Foundation Board Members, Commissioner and Deputy Commissioner, Financial Services Manager	E-Mail / Quarterly
2.	Cost Code Expenditure Report	Excel	Field Offices and Management	E-Mail / Monthly
3.	Program Operational Budgets	Excel	Financial Manager, Commissioner and Deputy Commissioner	E-Mail / Monthly
4.	Program Projected Budgets	Excel	Financial Manager, Commissioner and Deputy Commissioner	E-Mail / When Requested
5.	Quarterly Financial Information	Excel Workbook	State Approving Agency	E-Mail / Quarterly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	1.0
2.	1.0
3.	1.0
4.	1.0
5.	1.0

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

The method is based on the reports needed to help the Agency run efficient and the reports that provide the information needed for effective and correct financial reporting.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

Total of all Weekly, Monthly, Quarterly and Yearly Reports: 100 +/-

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.

.....

2.

.....

3.

.....

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☒ Key data in

☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

An Automated Financial System should be put into place to create a better financial reporting process.

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

N/A

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

All financial reports are produced from pivot tables linked to the Financial Log that is set up in Excel.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Foundation donations update
2.
Treasury Loan Repayment Schedule
3.
Central Administration Billing Worksheet
4.
Fund Detail Register
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Quality of Reports

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Automated Financial System

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	1.0
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

As a medium-sized agency, an automated financial system would increase our ability to produce more timely reports. It would also decrease the chance of incorrect information being given due to formula errors in the Excel program.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

The agency maintains and provides various expenditure, budgetary, revenue information, and official source documents upon the request of APA and DOA. Explanations are provided for any variances questioned by the APA or DOA.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The "Schedule of Retainage Payables. DOA provides federal catalogue numbers and amounts however, it would be helpful to show the project code so the agency can identify their specific grants.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.8
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	weekly and monthly
Number of reports you generate on a recurring basis	8
Types of reports you generate on a recurring basis	CARS, CIPPS

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Electronic submission
Directive Procedures
Attachment I Checklist
Changing various Attachments to Number designations and other Attachments to Alpha designations.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Provide Project Code with CFDA number on payables report to help agency identify payables for "Schedule of Retainage Payables"

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

Grants Management Information System to track grant awards, expenditures and grant returns by grant number.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Grant Financial Reports	Access	Federal Government	Quarterly
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

8

24. How many reports are produced annually?

4

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Grants Management Information System
2.
Seized Assets
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Grant Financial Reports		Federal Government	Quarterly
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

NA

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
NA
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Provides the information needed
The systems are automated processes

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
NA
2.
.....
3.
.....
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.8
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

In addition to Individual Attachments, extensive work papers are compiled for CAFR Supplemental Information including modified and full accruals for:
Receivables for the Transportation Trust Fund Sales Tax;
Receivable and Payable accruals for all revenue streams;
Corporate and Individual and withholding deferred credit;
Estimate of the percentage of tax refunds and a historical analysis supporting the estimate for the CAFR deferred credit calculation.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Preparing accrual workpapers using cash basis CARS reports.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

State Tax Accounting and Revenue System (STARS), a mainframe system that processes all Virginia tax information, which will be replaced in August 2005.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

Most facets of Supplementary Information.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

Produces automated accrual revenue reports not available in CARS.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.2
Band - 5	1.5
Band - 6	.5
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	weekly
Number of reports you generate on a recurring basis	5 to 10
Types of reports you generate on a recurring basis	Trial Balance, Appropriation and Allotment, Expenditures, Revenue, FAACS

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Financial Information Downloading System (FINDS);
Detailed and Summary CARS reports;
"P and N" Voucher indicator (for accruals identification);
Reportline

15. Please list up to 5 opportunities for improvement to the Reporting process.

Modified and Full Accrual CARS reports
Web-based system

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

- ☒ Reporting
- ☐ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

It is the core computer system for recording tax generated revenue. Note this system is being replaced by a new system in August 2005

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Processing all of the Commonwealth's tax information:	STARS	internal, Governor, Secretary of Finance, DOA, Public	daily, weekly, monthly, annually
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Changes are initiated from user requests and formal system modification requests are followed.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

0

24. How many reports are produced annually?

500 to 600

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Processing all of the Commonwealth's tax information:

2.

receivables from tax returns filed

3.

revenue refunds and payables from tax returns filed

4.

Tax amounts due to localities

5.

Agency Administrative reports

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

User soft copy availability

2.

User query capability

3.

User Ad Hoc reporting, manipulate data requests

4.

User ease of retrieving prior years data

5.

User drill down reports (from summary to detail)

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Annual Report	STARS & CARS	Governor, Secretary of Finance, Public	Annual hard copy, agency web site
2.	Revenue Forecasting	STARS & CARS	Governor, Secretary of Finance,	As needed
3.	Quarterly Taxable Sales	STARS & CARS	Governor, Secretary of Finance, Localities	Quarterly
4.	Other Governor's Confidential Workpapers	STARS & CARS	Governor	As needed
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
Separate estimated tax type payments by year
2.
Separate compliance Revenue amounts
3.
More comprehensive detail for bill payments, credits, check offs and deductions
4.
CARS Batch ID detail
5.
soft copy capability

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

STARS and CARS

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

Ad-hoc for Contributions

2.

Ad-hoc for specific Tax payer

3.

Ad-hoc for specific APA reports

4.

Ad-hoc for negative sale tax distribution by locality

5.

Ad-hoc for Cumulative Collections extraordinary increases or decreases

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Accuracy,
tailored to specific needs of Taxation,
years of History retained,
extensive Audit Trails,
ad hoc capability

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

User soft copy availability

2.

User query capability

3.

User Ad Hoc reporting, manipulate data requests

4.

User ease of retrieving prior years data

5.

User drill down reports (from summary to detail)

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	1.0
Band - 5	4.9
Band - 6	1.5
Band - 7	.5
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

Mandated to report deferred payments computations for corporate and individual taxes.

44. If you have any other concerns or comments about this functional area, please include them here.

In 1993 the Joint Legislative Audit Review Commission (JLARC) recommended to the General Assembly of Virginia that the core computer system at the Department of Taxation be replaced. This primary mainframe system, the State Tax Accounting and Revenue System (STARS), was more than ten years old at the time of the study, and was nearing obsolescence. Despite the JLARC recommendation, the department was unable to secure funding through the traditional means of state appropriation. In July 1998 the Department of Taxation (TAX) signed a 'benefits' funded contract with American Management Systems (AMS). Under the contract, AMS will help to not only replace the core tax accounting system, but also completely reengineer the business processes at the Virginia Department of Taxation. This system is expected to "Go Live" in August 2005.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

See attachment FINANCIAL MANAGEMENT_REPORTING_1

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The directive seems to grow every year with more complex attachments added every time.
The Schedule of Cash, Cash Equivalents and Investments at June 30 attachment 20 requires a substantial effort to complete. The supplemental requirements are not always specific on what they are asking for.
The directive sometimes sets state wide deadlines on due dates when there are certain agencies that have limitations on meeting the statewide deadlines.
The schedule of changes in capital asset balances also requires a substantial investment in time and resources.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Financial Management System II

This system was implemented in FY 1999 and is based on PeopleSoft with modifications made to address agency specific requirements (to capture data required for CAFR using multiple ledgers such as actuals, cash basis, accrual basis, etc..)

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

CARS budget amounts are manually entered for CAFR reporting.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A per answer to question no. 7

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	1.3
Band - 6	.3
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	.0

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Do not use report line currently
Number of reports you generate on a recurring basis	Do not use report line currently
Types of reports you generate on a recurring basis	Do not use report line currently

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Responses relate to CARS Reports
1 - Daily checkwrite interface to VDOT FMS
2- Summary reports for reconciliation between CARS and FMS (not used as management reporting tools)

15. Please list up to 5 opportunities for improvement to the Reporting process.

Responses relate to CARS Reports
1-Need additional level of detail to meet our reporting needs
2-Nightly history data interfaces to VDOT FMS
3-Interactive drill down capabilities

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☒ Reporting
- ☒ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To meet the unique requirements of a transportation agency (federal billing in particular).

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

The agency does use a datawarehouse, but it reports on limited financial data.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Budget vs. Actual (operational)	FMS -II	internal	automatic - pushed Excel reports, daily
2.	CAFR Reports	FMS-II	internal	monthly,yearly or as needed
3.	Project Overview/Detail Reports	FMS-II	internal	generated by end user as needed
4.	Maintenance Asset Group/Type	FMS-II	internal	automatic - pushed Excel reports, daily
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.0
2.	.0
3.	.0
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Feed back from users and/or changing accounting requirements and regulations.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

number varies, depends on system access level.

24. How many reports are produced annually?

nightly push reports estimate 3,500; number of user generated reports unknown

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

FMS uses Excel based reports

2.

Project management

3.

Performance evaluation and monitoring

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
faster drill down capabilities
2.
web based reporting access for end users
3.
better data dictionary facilities
4.
separate reporting database
5.
comprehensive project level reporting

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	VDOT Annual Financial Report	FMS II- Nvision-Excel-Word	Internal/External	Annual
2.	Federal Highway Statistics	Excel- FHWA (FASH)	External	Annual
3.	Monthly Financial Report	FMS II-Nvision-Excel	Internal/External	Monthly
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	5.0
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

Expanded reporting capability for GASB 34

2.

More user friendly FHWA report validation process

3.

Ad hoc reporting tool

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

The Financial Reporting section uses queries, Nvision operational reports, and various versions of the FMS II trial balances for the production of non recurring and special project reports.

Other users, such as financial and management analysts, also have query compability or use business objects and the data warehouse to develop reports.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

Revenue and expenditure fluctuations

2.

Revenue and expenditure current and prior year reports

3.

Asset and liability current and prior year reports

4.

What does it cost to...? (similar to a quicken report)

5.

How much did we spend on...? (similar to a quicken report)

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

ad hoc capability

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

easier path to find the needed reports

2.

data dictionary

3.

web based

4.

geared to common user not finance professional

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.0
Band - 4	1.7
Band - 5	.3
Band - 6	.0
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	.1

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

GASB, GAAP, FHWA, FEMA, FAR

44. If you have any other concerns or comments about this functional area, please include them here.

The VDOT Financial Management System II provides a good foundation to provide the information needed to meet the reporting needs of VDOT. MANDATORY THAT DETAIL AND COMPLEX LOGIC REQUIREMENTS RELATED TO FEDERAL REPORTING BE MET. (FTE data question 9 relates to annual CAFR reporting including supplemental data supplied for asset reporting, leave liability and contractual commitments. FTE data question 42 relates to CARS/FMS reconciliations, nVision report scope setups and miscellaneous report production within the accounting department).

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

The general ledger and reporting manager at DMAS collects information from the budget manager, accounts payable manager and accounts receivable manager to help in the preparation of necessary adjusting entries (both accrual and cash basis). The general ledger manager follows the DOA directive to determine when these entries and the related confirmation of accounts are due to the Department of Accounts.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The federal attachments that are required by DOA.

3. Does your Agency use a system other than CARS for internal financial management?

- ☒ Yes
☐ No

4. Please name and describe this system.

Oracle Financials 11i

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

- ☐ Yes
☒ No

6. What manual processes, if any, must you still perform to gather this information?

The compilation of the data to provide the Department of Accounts and the Auditor of Public Accounts in order to complete the CAFR is a complex and very time consuming task. When needed the DMAS reporting unit uses Excel worksheets as support for the journal entries and attachments that it completes. The DMAS Reporting Manager also uses Excel to document the entries. The use of Excel accounting spreadsheets are a necessary tool to complete this task.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

While Excel requires the manual entry of information, the Excel spreadsheets are also automated as well.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.6
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Weekly and monthly
Number of reports you generate on a recurring basis	8-10
Types of reports you generate on a recurring basis	Weekly and Monthly Trial Balance, Expenditure and Revenue Transactions reports

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

The process is automated. The dates the reports are to be available are always met. Un-needed paper is not used which saves money for the Commonwealth.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Make the dates that the reports are available be the 5th business day after the beginning of each month. The reports are currently available on different dates most every month.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

CARS doesn't provide the necessary level of detail to meet federal reporting requirements. This is due to the Federal Medicaid Program being the most complex program that the Commonwealth administers.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

The Third Party Liability Recovery System (TPLRS) - provides data on the receivables owed to DMAS from third party providers. The Medicaid Management Information System (MMIS) - This is the customized claim system that processes all medicaid claims for the Commonwealth. The budget of the Commonwealth for Medicaid is now over \$4 billion so it is obvious that the volume of activity in this system is enormous. Statistical Analysis System (STAT)- Used by the reporting unit to get specific reports related to medicaid.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	TPLRS - Deletion File	TPLRS	Vendor	Fedex - Monthly
2.	TPLRS - CALERT File	TPLRS	Vendor	Email - Monthly
3.	TPLRS - Carriers by Number	TPLRS	Dept. of Social Services	Email - Every other Month
4.	TPLRS - Carriers by Name	TPLRS	Dept. of Social Services	Email - Every other Month
5.	Statistical Account Analysis of Premiums	STAT	Used for the CMS 64 report which CMS receives.	Online entry - Quarterly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.2
2.	.2
3.	.1
4.	.1
5.	.1

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

The reports that DMAS uses are added, deleted or updated on an as needed basis in order to meet the requirements of the Federal government and the Commonwealth.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

4-6

24. How many reports are produced annually?

2-3 "new" reports each year

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

PO, AP, AR, and GL processes

2.

Daily prelist recording process

3.

Federal reporting process

4.

Commonwealth reporting process

5.

Weekly Remit process

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Frequent upgrades to the Excel package
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	CMS 64 - Medicaid Expenditure Report	CARS, Oracle 11i, MMIS, STAT	Federal Government, APA	Federal Online Enrty System - Quarterly
2.	Exception Register	CARS, Oracle 11i	DOA, APA	Fax - Monthly
3.	DOA Accounts Receivable Report	CARS, Oracle 11i	DOA, APA	Mail - Quarterly
4.	Year-End Attachments - State	CARS, Excel, Oracle 11i	DOA, APA	Email, InterOffice Mail - Yearly
5.	Year-End Receivable and Payable Reports	CARS, Oracle 11i, Excel	CMS, APA	US Mail - Yearly

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	3.7
2.	.9
3.	.1
4.	.2
5.	.2

34. Please suggest up to five enhancements that would significantly improve the process.

1.
Frequent upgrades of the Excel package
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Oracle 11i Financial Statement Generator, Oracle Forms, Oracle Browser / Discoverer, Excel spreadsheets, CARS expenditure downloads.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Analytical reports needed by management
2.
Other reports created are recurring
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Report tools provide great flexibility in report developmnet to meet constant changes in federal reporting requirements.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

As stated above, the frequent upgrade of the Excel package.

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	1.6
Band - 5	3.1
Band - 6	
Band - 7	.1
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

The Code of Federal Regulations - Title 45

44. If you have any other concerns or comments about this functional area, please include them here.

The reporting process is adequately completed by the staff and contractors at DMAS. It is very difficult to imagine a more complex federal program than Medicaid. Thus it is very hard to fully explain within the confines of this survey the high level of experience and knowledge that the staff at DMAS, who complete this function, have.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Dept. of State Police prepares all attachments required in comptroller directive 2-05

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Most difficult part is the federal schedule, federal fund analysis, fixed asset accounting and control system (FAACS) analysis

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

VSP Internal Accounting System - Manual data entry system created using MAPPER software. All entries must be made separate of CARS.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Leave liability calculations - short term analysis of FAACS system for changes (material). Federal schedules must have info gathered manually.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Do not use and am not familiar with system
Number of reports you generate on a recurring basis	0
Types of reports you generate on a recurring basis	0

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Reports received on time. Reports are very accurate.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Addition of AD-HOC reporting. Use of the "finds" system for internal reports is very labor intensive.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

APA requires agency to have internal system for reconcilliation reports used for budget and projections.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Equipment reports	Internal Accounting System	Senior Management	Manual
2.	Cash Balance	Internal Accounting System	All accounting personnel	Manual
3.	Revenue	Internal Accounting System	All accounting personnel	Manual
4.	Expenditures	Internal Accounting System	All accounting personnel	Manual
5.	Project Code Reports	Internal Accounting System	All accounting personnel	Manual

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	1.5
2.	1.5
3.	1.5
4.	1.5
5.	1.5

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Reports are adjusted for needs of senior agency management and Financial reporting requirement.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

1,040

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Day-to-day operations

2.

Specialized reports required by senior managers

3.

Information required by outside agencies

4.

Financial

5.

Grant Reporting

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Interface with CARS system so data does not have to be keyed twice.
2.
Report writer capability
3.
Provides standard reports that match requirements of DOA. (e.g. CAFR, Quarterly reporting, etc.)
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

- ☒ Yes
- ☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Grant reports	Federal reporting systems	Federal Grant Authorities	Web-based, as required
2.	Quarterly receivable reports	DOA	DOA	Web-based, quarterly
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.5
2.	.2
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

Interface with CARS system so data does not have to be keyed twice

2.

Report writer capability

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Perform queries from Internal Accounting System. Use of data downloads from FINDS for previous months. Accumulate and enter data into new reports.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Annual revenue/expenditure report for VDOT
2.
Reports required by DPB
3.
Reports required by APA
4.
Indirect cost report
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Since agency produces reports manually, it takes superior personnel to accomplish the task.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Interface with CARS system so data does not have to be keyed twice.

2.

Ability to download from MAPPER to Excel and Access

3.

Report writer capability

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.4
Band - 4	1.8
Band - 5	.4
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

Interface with the CARS System so data does not have to be entered twice. AD-HOC reporting for CARS System.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Directives come from DOA. Attachments are completed by various areas of Financial Responsibility using both manual and automated reports and spreadsheets.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

1. Receivables and Payables at June 30 by detail
2. Conversion from cash basis to modified/full accrual
3. Reconciliation and documentation of clearing accounts
4. Supplemental information is difficult due to manual process

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

1. Oracle Financials
2. Agency-Specific Billing System
3. Returned Check System
4. Refund Systems

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Oracle Financials provides information for many of the DOA attachments and APA requests. However, manual calculations are still required. Examples are: Manually calculate for doubtful accounts; separate receivables for each agency DMV does accounting for.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

N/A

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.2
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	N/A
Number of reports you generate on a recurring basis	N/A
Types of reports you generate on a recurring basis	N/A

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

1. Weekly and monthly reports are provided in a timely manner.
2. Information is available online through the FINDS System (Financial Information Downloading).
3. CARS has data integrity.
4. Organization roll-up structure works fairly well for expenditure tracking.

15. Please list up to 5 opportunities for improvement to the Reporting process.

1. Ambiguous error messages
2. Insufficient edits
3. CARS provides no user ad-hoc report tool

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

- ☒ Reporting
- ☒ Inquiry
- ☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

1) To provide an integrated purchasing and payables system, 2) Provide AdHoc Reports, 3) Allow integration of other financial operations, 4) Better manage financial activity , 5) Better internal controls including edits, 6) Provide realtime financial and management reporting

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

- ☐ Yes
- ☒ No

19. Please name and describe the system.

--

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Numerous Reports - too many to list	CSS	DMV Financial Management Services (DMS)	Paper/daily/monthly/quarterly/yearly
2.	Numerous Reports - too many to list	Oracle Financials	DMV Financial Management Services (FMS)	Electronic/daily/monthly/quarterly/yearly
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

If additional reports or enhancements are needed, a TPR (Technology Project Request) is submitted. Administrations and IT prioritize the various projects based on agency needs.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

One

24. How many reports are produced annually?

Data not available

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Undelivered Checks Access Database
2.
PPTRA - Oracle Database
3.
Cost Allocation (ABC) Model - Excel
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
User-defined reporting tool desired
2.
Further automation of statistical reports
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Mobile Homes	CSS	Localities	Print quarterly
2.	Rental Tax	CSS	Localities	Print quarterly
3.	Animal Friendly Plates	CSS	Localities	Print annually
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.1
3.	.1
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
Ability to electronically certify and distribute reports
2.
Ability to electronically certify and distribute reports
3.
Ability to electronically certify and distribute reports
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Ad Hoc Reports from Oracle Financials

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

Various types of financial data for financial management needs (i.e. expenditure information, revenue information)

2.

Legislative requirements

3.

.....

4.

.....

5.

.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

- 1-Comprehensive database of customer and revenue information
- 2-Trained staff that can access the information and create needed reports.
- 3-Agency owned GL that enables creation of financial reports.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

Implementation of modern database tool whereby users could create reports

2.

Standardized reports based on current needs

3.

Integrate operational functions into one system or create interfaces between systems

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	1.2
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

Federal laws regarding Grant Administration must be considered.

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	0
Number of reports you generate on a recurring basis	0
Types of reports you generate on a recurring basis	0

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

The agency does not utilize any central reporting functions. Data are downloaded and processed into an agency data warehouse and agency accounting system for reporting purposes.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Central system does not allow collection and reporting of information in adequate detail.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

Data warehouse that compiles budget, expenditure information.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Budget	data warehouse	budget managers	intranet
2.	budget variance	data warehouse	budget managers	intranet
3.	expenditures	accounting system	budget managers/grant managers	network
4.	revenues	accounting	managers	network
5.	appropriations	accounting	budget analysts	network

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Most reports are general data with pivot table tools that allow the end-user to configure the data as desired.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

30-40

24. How many reports are produced annually?

NA

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☒ Populate database
- ☐ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Allow access through dial-up/VPN
2.
Clean up of historical data
3.
Training on use and interpretation
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Using Excel tools allows large amount of flexibility. Canned, preformatted reports are minimized to specialized, recurrent processes only.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

.....

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☐ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

Reporting must support unique detail needed by the agency to support federal grant funding.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

We prepare all related DOA attachments and the Enterprise Fund Financial Statements. We spend most of the time manipulating the accounting information from our federal accounting system to fit the requirements of the attachments.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Those related to GASB 33 and those requiring detailed information by federal grant, because the required level of detail is not available through CARS.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

State Employment Security Accounting (SESA)
Allocates time, payments to claimants, operating expenses, administration, etc. to federal grants, by cost center, project and function codes.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Extensive processes to format what is available in SESA to match the requirements of the CAFR

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☒ Yes

☐ No

8. Please describe this internal automated system.

Excel worksheets

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	
Number of reports you generate on a recurring basis	
Types of reports you generate on a recurring basis	

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

--

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☐ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Detailed federal reporting requirements and allocations

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

SESA, see previous questions

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	budget	SESA	agency management	monthly
2.	federal reporting	SESA	Federal gov't, agency mgmt	monthly
3.	input for CAFR	EXCEL	state gov't, agency mgmt	annually
4.	expenditure reconciliations	SESA	accounting staff, managment	monthly
5.	revenue reconciliations	SESA	accounting staff, management	monthly

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Agency needs; federal and state requirements

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

?

24. How many reports are produced annually?

?

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
federal reporting

2.
budget

3.
state reporting

4.
trust fund reporting

5.
Workforce Investment Areas reporting

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

They are stable & we make them work despite difficulties

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Federal financial reports	SESA	federal government	web-based delivery, quarterly
2.	Workforce Investment Act	EXCEL ledgers	legislature	electronic, or paper
3.	Local workforce area activity	EXCEL ledgers	Workforce council	electronic
4.	Grant status reports	SESA	federal government, agency mgmt	electronic
5.	Special reports as needed	SESA, EXCEL	as needed	as needed

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Stable, and it works to support requirements of many stakeholders, state and federal government entities, and agency management

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

.....

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☒ Yes

☐ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

n/a - No direct input for CAFR & PAFR - see also #28? below

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

None knownj.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☐ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	n/a
Number of reports you generate on a recurring basis	None.
Types of reports you generate on a recurring basis	n/a

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

--

15. Please list up to 5 opportunities for improvement to the Reporting process.

Re-vamp/reengineer system to display more text dialogue whenever a code is highlighted or selected

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

.....

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	n/a			
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

n/a

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

n/a

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

n/a

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

n/a

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

n/a

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
n/a
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

n/a

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

n/a

2.

.....

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

None known.

44. If you have any other concerns or comments about this functional area, please include them here.

Overall Caveat - Most all Report I/O is done for DFP by DCJS under an MOU #1, #2, #13 - See above...

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Provide various schedules drawn from CARS and CIPPS to DOA. We do not produce a separate CAFR report. Information comes from CARS and CIPPS reports.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

GASB 33, Expenditure & Revenue Analysis.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

VDH F&A system. Front-end load to CARS, account and data entry edits, reports available to cost centers of their CARS & CIPPS data via GUI from downloaded CARS processed transactions detail tapes (electronically transmitted), lease tracking, Federal Time and Effort tracking (interfaces via FINDS with CIPPS), Prompt Payment & AMEX usage & Travel EDI by cost center, petty cash advance accounting

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Pick up the information off of CARS & CIPPS and plug it into DOA schedules, which are EXCEL spread sheets. Use FINDS download from CIPPS and CARS. Get CIPPS or CARS or lease information off of the VDH F&A system described elsewhere.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

Front-end load to CARS, account and data entry edits, reports available to cost centers of their CARS & CIPPS data via GUI from downloaded CARS processed transactions detail tapes (electronically transmitted), lease tracking, Federal Time and Effort tracking (interfaces via FINDS with CIPPS), Prompt Payment & AMEX usage & Travel EDI by cost center, petty cash advance accounting

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.3
Band - 5	
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☒ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☒ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	2 times a year (we don't really consider these ad-hoc reports because they are canned reports, however Reportline does consider them ad-hoc).
Number of reports you generate on a recurring basis	11
Types of reports you generate on a recurring basis	FAACS reports, detail transactions, general ledger, expenditures vs appropriation & allotment, checks written, Report of Payments Made – X Batches, checks written after due date.

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

FINDS downloading capabilities (allows entry of accounting data into EXCEL). DOA staff is responsive to questions.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Detail transactions for the previous fiscal year need to be kept longer in FINDS. CIPPS needs to be improved to facilitate leave liability reporting. Need a way to automate accruals. Produce reports that can be read by non accountants. Need an easy to use ad-hoc report writer.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

To reduce the high number of coding errors (CARS only has edits at the macro level). To make data entry easier and quicker. To make it easier to extract information from CIPPS, CARS and PMIS. To report on cost center compliance on Prompt Pay, Time & Effort reporting, travel EDI compliance, AMEX card usage compliance, reconciliation at cost center level.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Revenue detail by cost code	VDH Financial & Administration System (F&A _ an Oracle relational data base)	District & office administrators & accountants	Electronically/monthly
2.	Expenditure detail by cost code & voucher number	VDH Financial & Administration System (F&A _ an Oracle relational data base)	District & office administrators & accountants	Electronically/monthly
3.	Ad-hoc expenditure, revenue and cash transfers	VDH Financial & Administration System (F&A _ an Oracle relational data base)	central accounting and cost centers	Electronic/as needed
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.1
2.	.1
3.	.1
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

User requests and central agency (DOA, Treasury, etc) reporting requirements.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

270

24. How many reports are produced annually?

not available

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☐ Yes

☒ No

26. What are the specific business processes that these applications support?

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☐ Key data in
- ☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
Make the system web based.
2.
Other than # 1 above, as a practical matter, we are restricted in what we can do by current state central systems and policy.
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Grant Financial Status Report	CARS and F&A	federal government	US Mail/annually
2.	Federal Cash Transaction Report	CARS and F&A	federal government	electronically + US Mail/quarterly
3.	CMIA report	CARS/FINDS	DOA	electronically + mail, annually
4.	Indirect cost rate proposal	CARS/FINDS	federal government	US Mail/bi-annually
5.	Financial Schedules for CAFR	CARS/FINDS, F&A, FAACS, LAS, CIPPS	DOA	electronically

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	.6
2.	.1
3.	.1
4.	.0
5.	.5

34. Please suggest up to five enhancements that would significantly improve the process.

1.

Autoamtically produce the reports from the state's central accounting system.

2.

Have the state central accounting system capture both accruals and obligations.

3.

Have the state's central system capture check clearence dates for CMIA

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

CARS/FINDS, PMIS, LAS, VDH F&A system, EXCEL, FAACS, CIPPS.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.

VDH expenditures associated with declared disasters.

2.

Costs associated with a move from one building to another.

3.

Costs associated with a one time project.

4.

Revenue collected for one time special projects.

5.

Expenditure/revenue data to support fraud investigations

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Accuracy, timeliness, electronic communication, electronic extraction of data into a spread sheet.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.

More detailed subobject codes

2.

Capability to further delineate expenditures and revenue below the cost code level.

3.

.....

4.

.....

5.

.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.5
Band - 4	3.5
Band - 5	
Band - 6	.3
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

The District is not involved in this process at all.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

The District is not involved with DOA's annual report preparation. We are asked questions of items by VDH Accounting Services, to which the District responds.

3. Does your Agency use a system other than CARS for internal financial management?

☐ Yes

☒ No

4. Please name and describe this system.

Excel spreadsheets are used by the District to summarize revenue and expenditures by locality and grants. The spreadsheets are used to track actual to budget for each locality and project code assigned to the District.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

I do not report any information to the CAFR.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

The only financial reporting that is done in the District is for our own internal use on expenses and revenues. The reports are to support expenditures and revenue by individual locality within the District, and to track, actual vs budget, for all District expenditures and revenue.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	.1
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☒ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☒ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☒ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	I do not use Reportline
Number of reports you generate on a recurring basis	I do not use Reportline
Types of reports you generate on a recurring basis	I do not use Reportline

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

I do not use any part of the centralized financial reporting process.

15. Please list up to 5 opportunities for improvement to the Reporting process.

Reports Produced from Internal Agency Systems

16. Does your Agency operate an Agency-specific financial reporting or inquiry system?

☐ Reporting

☐ Inquiry

☒ None

17. Please identify the reasons for implementing an Agency-specific financial system.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

I do not receive any produced financial reports other than my monthly CARS report for the District. I use FINDS data to produce our monthly expense and revenue by locality and by grant. The information is reconciled back to District CARS reports and Grant reports.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☐ Yes

☒ No

23. How many users have access to this capability?

.....

24. How many reports are produced annually?

12

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.
Excel supports internal financial reporting
2.
Excel supports controllable inventory
3.
Excel supports supply and pharmaceuticals inventory for fiscal year end valuation
4.
.....
5.
.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

- ☐ Populate database
- ☒ Key data in
- ☐ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☒ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
CARS reports by Individual Locality within each District
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☐ Yes

☒ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.				
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

.....

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Use of internal spreadsheets and allocations from District charges to individual localities to support the preparation of Year End Settlements for each locality.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
Year End Settlements
2.
Valuation of Contents of Building for Risk Management Charges
3.
Medical Malpractice Exposure survey
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☒ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☒ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☒ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
Integration of various systems to reduce manual input
2.
CARS monthly report by FIPS code and Fund Code
3.
.....
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.0
Band - 4	.2
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☐ No

Comments

I am not aware of any

44. If you have any other concerns or comments about this functional area, please include them here.

The District uses data from either CARS, FINDS, and the F&A systems to produce internal financial reports by locality. The reports track actual revenue and expenditures to budgeted dollars. There is no interface into these spreadsheets other than data input from the various state systems. The District does not participate in any regulatory financial reporting other than being asked questions of any particular or unusual expenditure or transaction.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

We follow specific guidance prescribed by DOA for each relevant attachment. To prepare the reports, we use final fiscal year-end CARS reports, CIPPS Reports, FINDS Downloads, Oracle generated reports, LGIP Account Statements.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Federal schedule is onerous due to the volume of Federal grant activity performed by this agency.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Oracle Financials, with direct interface into CARS.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☒ Yes

☐ No

6. What manual processes, if any, must you still perform to gather this information?

Downloading information from CARS; access and inquiry of CARS and CIPPS data.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	1.5
Band - 5	1.5
Band - 6	.7
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	daily
Number of reports you generate on a recurring basis	18
Types of reports you generate on a recurring basis	CARS weekly, CARS monthly, and CIPPS bi-monthly, & monthly

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.

Access to time-specific reports
Relevant data is consistently presented

15. Please list up to 5 opportunities for improvement to the Reporting process.

Consistent and predictable reporting periods should be practiced by DOA (e.g., close the week on a Friday, close the fiscal month on a Friday)
Project-task-phase detail needs to be accessible in a greater variety of CARS reports, especially ACTR 0401 and 0402.
Greater utility to import the report data into a working spreadsheet.

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

☒ Reporting

☐ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Matching capability of purchase orders to invoices and cross-fiscal year encumbrances; Federal grants management and agency unit budget management.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☒ Yes

☐ No

19. Please name and describe the system.

Oracle Application (CEDS/STORMS) communicates information to Oracle Financials for general payments and invoices.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Grants/Special funds budget vs. actual	CARS / Excel	Project and Grants Managers	Monthly - by email attachment
2.	Unit Budget/Expenditure comparisons	Excel	Division Directors & Cost Center Managers	Monthly - hardcopy report
3.	Yearly CAFR Reports	CARS/Excel/CIPPS/ Oracle	DOA / APA	Yearly by email attachment and hardcopy
4.	Federal Grants Reports	CARS / Excel	Federal granting agencies	quarterly, semi-annually, annually
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Case by case evaluation of need as it arises.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

23

24. How many reports are produced annually?

Approx. 50 grants require Federal Cash Transaction Reports and Financial Status Reports. Approximately 28 reports are required for CAFR. Approx. 5 DPB annual reporting requirements.

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Excel - Grants & Unit budget vs. expenditure reports

2.

Access - Coastal Zone Management database

3.

Oracle-based program for VPSTF programs

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☒ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Fed. SF269 (expenditures)	CARS/ Excel	Federal granting agencies	hardcopy mail & email attachment
2.	Fed. 272 (cash management)	CARS/ Excel	Federal granting agencies	email attachment
3.	Monthly reconciliation	CARS/ Excel	DOA	email attachment monthly
4.	CAFR reports	CARS/ CIPPS/Excel/Oracle	DOA / APA	email attachment annually
5.	Code-required reports	CARS/ Word document	DPB	email attachment annually

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

Retrieval of data from internal financial system Oracle

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

Accuracy

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....

2.
.....

3.
.....

4.
.....

5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☐ No

Comments

.....

44. If you have any other concerns or comments about this functional area, please include them here.

CAFR and Related: The CAFR and PAFR are produced by the Department of Accounts (DOA). The Auditor of Public Accounts produces the Statewide Single Audit Report. Agencies are responsible for supplying a variety of information needed by these control agencies.

1. Please describe the process your Agency performs to prepare these annual reports.

Depending on the attachment, we gather the information from the appropriate unit (such as leave from HR, General Services for FAACS). The General Accounting manager is responsible for coordinating and completing all attachments and submitting by the appropriate deadlines. If financial statement template is required, then the CARS 401-B1 Trial Balance report is used as the starting point with adjusting entries utilized to arrive at the proper accrual balances.

2. Which particular areas of the DOA Directive regarding annual report preparation are the most difficult to comply with?

Although I understand the need for mandatory balancing, sometimes the Financial Statement Templates can be difficult to work with because of this feature.

3. Does your Agency use a system other than CARS for internal financial management?

☒ Yes

☐ No

4. Please name and describe this system.

Our in house financial system, written in Powerhouse, is used to process, record and report all agency expenditure transactions. It also has modules for budgeting and 1099 processing. The system is referred to as the Multi System, as it is used by 6 agencies (DRS, WWRC, DBVI, VBPD, DDHH, VRCBVI) to process expenditure and budget transactions.

5. If your Agency uses a system other than CARS for internal financial management, does this system automate the CAFR information process for you?

☐ Yes

☒ No

6. What manual processes, if any, must you still perform to gather this information?

Information must be gathered using reports generated by other systems, for example leave information from CIPPS/Leave accounting, fixed asset information from FAACS.

7. If you do not have an Agency financial system that automates the process for you, have you developed any other internal automated systems to support Commonwealth-wide CAFR preparation?

☐ Yes

☒ No

8. Please describe this internal automated system.

None.

9. For all automated and manual financial processes in your Agency to comply with CAFR requirements, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	
Band - 4	
Band - 5	.2
Band - 6	.2
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

Internal Management and Operational Reports: This category includes reports used to support your agency's internal operations and financial management. These will vary from very detailed transaction reports to high-level Agency summaries, depending on the audience and intended use.

10. Please rate the overall process of producing Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☒ 1.
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

11. Please rate the timeliness of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

12. Please rate the quality of these Internal Management and Operational reports available from central systems, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

13. Please describe your use of Reportline. In particular, please address:

	Response
Frequency of use for ad-hoc reports	Not aware Reportline had an ad hoc report feature
Number of reports you generate on a recurring basis	For a typical month will refer to 20 of the standard CARS Reports.
Types of reports you generate on a recurring basis	Expenditure, Revenue, Trial Balance

14. Please list up to 5 aspects of the centralized financial reporting process that you believe work well.**15. Please list up to 5 opportunities for improvement to the Reporting process.**

Timeliness of Reports.
Flexibility of Format.

Reports Produced from Internal Agency Systems**16. Does your Agency operate an Agency-specific financial reporting or inquiry system?**

☒ Reporting

☒ Inquiry

☐ None

17. Please identify the reasons for implementing an Agency-specific financial system.

Information is available much quicker from the in house system, for example month end data is available on the 1st of the month as opposed to the 10th. Also, the in house system allows more flexibility in tracking expenditures made on behalf of clients.

18. Does your Agency operate a specialized reporting application (as opposed to reports or inquiries produced from your Agency financial system)?

☐ Yes

☒ No

19. Please name and describe the system.

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Expenditure Reports	Multi System	Cost Center Managers, Fiscal Staff	Available electronically; Daily Monthly
2.	Daily Transaction Reports	Multi System	Fiscal Staff	Available on paper and electronically; Daily
3.	Budget Reports	Multi System	Cost Center Managers, Fiscal Staff	Available on Paper and electronically; Daily, Monthly
4.	1099 Processing Reports	Multi System	Fiscal Staff	Available on Paper; Yearly
5.				

20. Please list the types of Agency-generated financial reports and provide the following information:

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

21. What methods does your Agency use to determine whether to add, delete, or enhance reports produced by Agency systems?

Reports are enhanced or created as needed based on changes due to federal, state and agency requirements. Reports are deleted when they are no longer deemed useful.

22. Does your Agency make generalized reporting tools available to Agency personnel who can access the system database?

☒ Yes

☐ No

23. How many users have access to this capability?

15

24. How many reports are produced annually?

375

25. Are you aware of other Agency-specific reporting applications in your Agency (Excel, Access, etc.)?

☒ Yes

☐ No

26. What are the specific business processes that these applications support?

1.

Reconciliation of in house system to CARS

2.

Federal Grants Payment Drawdown Processing

3.

Payroll Templates for VSDP, Leave Payouts

4.

.....

5.

.....

27. How does your Agency make automated system data available to these databases or spreadsheets?

☐ Populate database

☐ Key data in

☒ Both populate database and key data in

28. Please rate the overall process of producing reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

29. Please rate the timeliness of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☒ 1.

☐ 2.

☐ 3.

☐ 4.

☐ 5.

30. Please rate the quality of reports that are available from the systems in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

31. Please suggest up to five enhancements for the financial reporting process driven by your own Agency systems.

1.

Sharing of information between system, for example staffing data from personnel system to budget, FAACS information to financial.

2.

.....

3.

.....

4.

.....

5.

.....

Regular Reports to External Parties - This category includes reports containing financial information that is produced on a regular basis for outside entities such as legislators, financial rating agencies, federal agencies, certain citizen groups, DOA or other central agencies(excluding reports or information provided in response to Section 1 above) etc.

32. Does your Agency produce such reports?

☒ Yes

☐ No

33. Please list the types of reports and provide the following information.

Matrix: part 1 of 2

	Report Type	Application or system	Recipients/Audience	Distribution Method and Frequency
1.	Federal Reporting	Multi System, VRIS (in house client tracking system)	US Social Security Administration, US Department of Education, VA DSS	Electronic Report, Quarterly
2.				
3.				
4.				
5.				

33. Please list the types of reports and provide the following information.

Matrix: part 2 of 2

	Annual Level of Effort to Produce (in FTEs)
1.	
2.	
3.	
4.	
5.	

34. Please suggest up to five enhancements that would significantly improve the process.

1.

Automate the generation of the report

2.

.....

3.

.....

4.

.....

5.

.....

Non-Recurring or Specialized Reports

35. What processes or tools does your Agency use to support the production of specialized, non-recurring financial reports to respond to requests from either Agency management or external parties?

The Multi System has an Ad Hoc Reporting feature that can be used to identify specific expenditure information. Requests for information covering multiple years and/or intricate combinations of data are requested from the agency's Information System Department.

36. Please list examples of the types of requests of non-recurring or specialized reports you service.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

37. Please rate the overall process that your Agency uses to support the production of specialized, non-recurring financial reports, on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☐ 2.
- ☒ 3.
- ☐ 4.
- ☐ 5.

38. Please rate the timeliness of specialized, non-recurring financial reports used in your Agency on a scale of 1 - 5. 1 = excellent and 5 = poor

- ☐ 1.
- ☒ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.

39. Please rate the quality of specialized, non-recurring financial reports used in your Agency, on a scale of 1 - 5. 1 = excellent and 5 = poor

☐ 1.

☒ 2.

☐ 3.

☐ 4.

☐ 5.

40. Please list up to 5 strengths of your Agency's Reporting process.

1. Timeliness
2. Flexibility

41. Please suggest up to five enhancements that would significantly improve the process of producing non-recurring or specialized reports.

1.
.....
2.
.....
3.
.....
4.
.....
5.
.....

42. To perform all reporting activities described above, including reconciliation of CARS data, please provide an estimate of the staff resource requirements, whether salaried or wage, based on pay band. If contractor resources are currently used in this process, please also provide their total FTE. Do not include staff requirements to comply with CAFR requirements, as this was provided earlier.

If an employee or contractor is not dedicated full time to this process, please add up the percentages of employee time to reach an FTE total by pay band.

	FTE Count (include tenths)
Band - 1	
Band - 2	
Band - 3	.2
Band - 4	.6
Band - 5	.1
Band - 6	
Band - 7	
Band - 8	
Band - 9	
Contracted Labor	

43. Are there any specific state or federal laws or regulations that would make it difficult to reengineer this business process? If so, please provide the relevant citation.

☐ Yes

☒ No

Comments

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44. If you have any other concerns or comments about this functional area, please include them here.